



01-26-01

PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 0651-0032  
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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**  
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	17243-00020
First Inventor	Preston H. Abbott
Title	METHODS AND SYSTEMS FOR FINANCING AND EXECUTING TRANSACTIONS
Express Mail Label No.	EL319733425US

U.S. PTO  
10/24/01**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)

2.  Application claims small entity status.  
See 37 CFR 1.27

3.  Specification [ Total Pages 13 ]  
(Preferred arrangement set forth below)

- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed Sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4.  Drawing(s) (35 USC 113) [ Total Sheets 2 ]

5. Oath or Declaration [ Total Pages 4 ]

a.  Newly executed (original or copy)

b.  Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
 

- i.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).

6.  Application Data Sheet. See 37 CFR 1.76

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation  Divisional  Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

<input type="checkbox"/> Customer Number or Bar Code Label (Insert Custom No. or Attach bar code label here)	or <input checked="" type="checkbox"/> Correspondence address below		
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Fax	(314) 621-5065		

Name (Print/type)	Robert E. Slenker	Registration No. (Attorney/Agent)	45.112
Signature		Date	24 JAN 2001

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TO/12/10

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<b>FEE TRANSMITTAL</b> <b>for FY 2001</b>		<b>Complete If Known</b>	
		Application Number	
		Filing Date	
		First Named Inventor	Preston H. Abbott
		Group Art Unit	
		Examiner Name	
<b>TOTAL AMOUNT OF PAYMENT</b>		(\$ 1232.00)	Attorney Docket Number
			17243-00020

<b>METHOD OF PAYMENT (check one)</b>				<b>FEES CALCULATION (continued)</b>																																																																																																																																																												
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account Number <input type="text" value="01-2384"/></p> <p>Deposit Account Name <input type="text"/></p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.16 and 1.17</p>				<p>3 ADDITIONAL FEES</p> <table border="1"> <tr> <td>Large Entity Fee Code (\$)</td> <td>Small Entity Fee Code (\$)</td> <td>Fee</td> <td>Fee Description</td> <td>Fee Paid</td> </tr> <tr> <td>105</td> <td>130</td> <td>205</td> <td>65</td> <td>Surcharge - late filing fee or cash</td> </tr> <tr> <td>127</td> <td>50</td> <td>227</td> <td>25</td> <td>Surcharge-late provisional filing fee or cover sheet</td> </tr> <tr> <td>139</td> <td>130</td> <td>139</td> <td>130</td> <td>Non-English specification</td> </tr> <tr> <td>147</td> <td>2520</td> <td>147</td> <td>2520</td> <td>For filing a request for ex parte reexamination</td> </tr> <tr> <td>112</td> <td>920*</td> <td>112</td> <td>920*</td> <td>Requesting publication of SIR prior to Examiner action</td> </tr> <tr> <td>113</td> <td>1840*</td> <td>113</td> <td>1840*</td> <td>Requesting publication of SIR after Examiner action</td> </tr> <tr> <td>115</td> <td>110</td> <td>215</td> <td>55</td> <td>Extension for reply within first month</td> </tr> <tr> <td>116</td> <td>390</td> <td>216</td> <td>195</td> <td>Extension for reply within second month</td> </tr> <tr> <td>117</td> <td>890</td> <td>217</td> <td>445</td> <td>Extension for reply within third month</td> </tr> <tr> <td>118</td> <td>1390</td> <td>218</td> <td>695</td> <td>Extension for reply within fourth month</td> </tr> <tr> <td>128</td> <td>1890</td> <td>228</td> <td>945</td> <td>Extension for reply within fifth month</td> </tr> <tr> <td>119</td> <td>310</td> <td>219</td> <td>155</td> <td>Notice of Appeal</td> </tr> <tr> <td>120</td> <td>310</td> <td>220</td> <td>155</td> <td>Filing a brief in support of an appeal</td> </tr> <tr> <td>121</td> <td>270</td> <td>221</td> <td>135</td> <td>Request for oral hearing</td> </tr> <tr> <td>138</td> <td>1510</td> <td>138</td> <td>1510</td> <td>Petition to institute a public use proceeding</td> </tr> <tr> <td>140</td> <td>110</td> <td>240</td> <td>55</td> <td>Petition to revive - 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\*\*or number previously paid, if greater; For Reissues, see above

\*Reduced by Basic Filing Fee Paid    SUBTOTAL (3)

<b>SUBMITTED BY</b>			<b>Complete (if applicable)</b>	
Name (Print/Type)	Robert E. Slenker	Registration No. (Attorney/Agent)	45,112	Telephone (314) 621-5070
Signature				Date 24 JAN 2001

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Express Mail mailing label number: **EL319733425US**

Date of Mailing: **January 24, 2001**

I certify that the attached patent application of **PRESTON H. ABBOTT** and **JOSEPH W. KRUM** which claims the benefit of U.S. Provisional Application No. 60/178,090, filed January 26, 2000 for **METHODS AND SYSTEMS FOR FINANCING AND EXECUTING TRANSACTIONS**, including:

- Certificate of Mailing Via Express Mail (1 page)
- Utility Patent Application Transmittal (1 page)
- Fee Transmittal (in duplicate) (1 page)
- Declaration and Power of Attorney for Preston H. Abbott (2 pgs.)
- Declaration and Power of Attorney for Joseph W. Krum (2 pgs)
- Five (5) pages of specification; six (7) pages of claims; one (1) page of abstract
- Two (2) sheets of drawings
- Return post card

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above in an envelope addressed to the Assistant Commissioner for Patents, Box PATENT APPLICATION, Washington, D.C. 20231.

  
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Armstrong Teasdale LLP  
One Metropolitan Square, Suite 2600  
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